

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No

V637-02531 US

First Inventor or Application Identifier

James A. COX et al.

Title

VERTICAL CAVITY SURFACE EMITTING LASER HAVING A GAIN GUIDED
APERTURE INTERIOR TO AN OXIDE CONFINEMENT LAYER

10/028437
10/028437
10/028437

12/28/01

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

ADDRESS TO:

Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g. PTO/SB/17)
(Submit an original and a duplicate for fee processing)

ACCOMPANYING APPLICATION PARTS

2. ☒ Specification Total Pages **18**

6. ☐ Assignment Papers (cover sheet & document(s))

7. ☐ 37 C.F.R. §3.73(b) Statement ☐ Power of Attorney
(when there is an assignee)

8. ☐ English Translation Document (if applicable)

3. ☒ Drawing(s) (35 U.S.C. 113) Total Sheets **2**

9. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations

10. ☐ Preliminary Amendment

4. ☐ Oath or Declaration Total Pages

11. ☒ White Advance Serial No. Postcard

- a. ☐ Newly executed (original or copy)

12. ☐ Small Entity Statement(s) ☐ Statement filed in prior application. Status still proper and desired.

- b. ☐ Copy from a prior application (37 C.F.R. §1.63(d))
(for continuation/divisional with box 15 completed)

- i. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §1.63(d)(2) and 1.33(b)

13. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)

14. ☐ Other:

5. ☐ Incorporation By Reference (usable if box 4B is checked)
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4B, is considered to be part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

Check for \$ 0.00

15. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application no.:

Prior application information: Examiner: Group Art Unit:

16. Amend the specification by inserting before the first line the sentence:

☐ This application is a ☐ Continuation ☐ Division ☐ Continuation-in-part (CIP)
of application Serial No. Filed on

☐ This application claims priority of provisional application Serial No. Filed

17. CORRESPONDENCE ADDRESS

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Date: December 28, 2001

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Registration No.:

**FEE TRANSMITTAL
For FY 2001**

Patent fees are subject to annual revision

TOTAL AMOUNT OF PAYMENT \$812.00**COMPLETE IF KNOWN**

Application No.	T.B.D.
Filing Date	December 28, 2001
First Named Inventor	James A. COX et al.
Group Art Unit	T.B.D.
Examiner Name	T.B.D.
Attorney Docket No.	V637-02531 US

METHOD OF PAYMENT (check one)1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments toDeposit
Account
Number

01-1125

Deposit
Account
Name

Honeywell International Inc

☒ Charge any Additional Fee Required
Under 37 CFR §§1.16 & 1.172. ☐ Payment Enclosed:
☐ Check ☐ Money Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee \$	Fee Code	Fee \$		
101	740	201	370	Utility Filing Fee	740
106	330	206	165	Design Filing Fee	
107	510	207	255	Plant Filing Fee	
108	740	208	370	Reissue Filing Fee	
114	160	214	80	Provisional Filing Fee	
SUBTOTAL (1)					\$740.00

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
24	-20 = 4	18.00	72
3	-3 = 0	84.00	
Multiple Dependent Claims	-0 = 0	280.00	0

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee \$	Fee Code	Fee \$		
103	18	203	9	Claims in excess of 20	
102	84	202	42	Independent claims in excess of 3	
104	280	204	140	Multiple dependent claim	
109	84	209	42	Reissue independent claims over original patent	
110	18	210	9	Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)					\$72.00

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee \$	Fee Code	Fee \$		
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,250	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,150	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Statement	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR 1.129(b))	
179	740	279	3370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	
195	300	195	300	Publication fee	
Other fee (specify)					

* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) \$0.00**SUBMITTED BY**

Name (Print / Type)

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Signature

John W. Kelly 33,920 for Andrew Abeyta

Date

12/29/2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take .2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, D.C., 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC, 20231.